

009220" 50292960

## Communications Hardware Topology

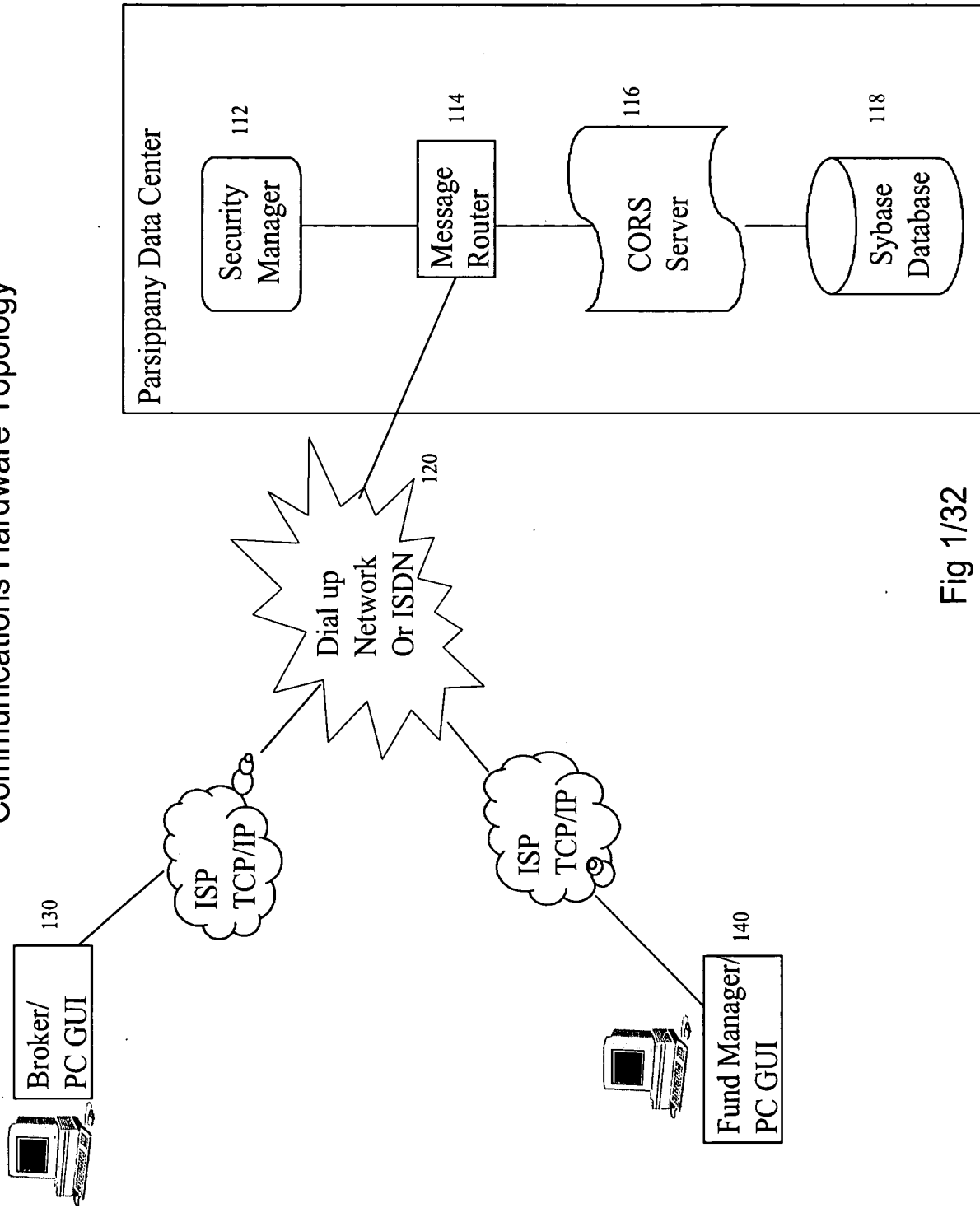


Fig 1/32



# System Schematic

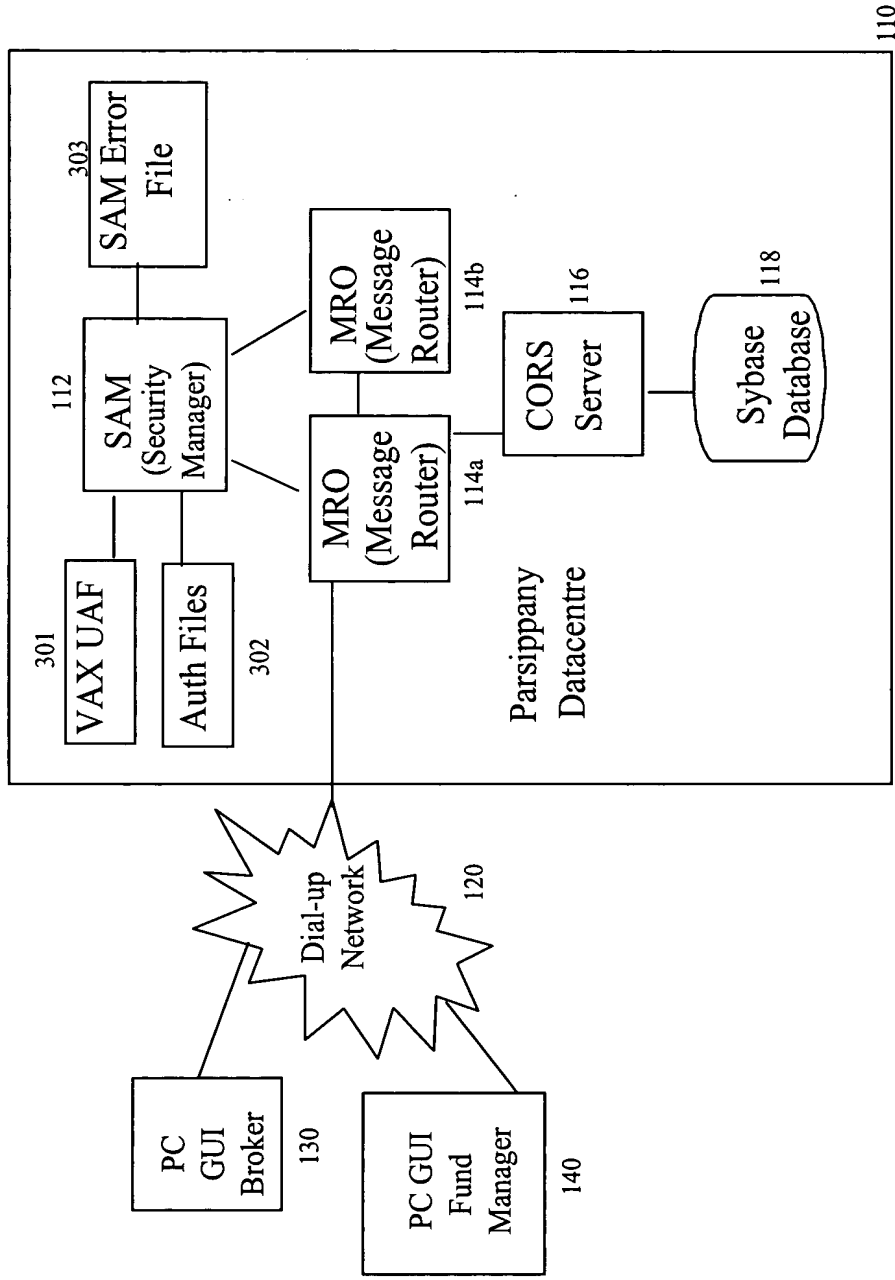


Fig 3A/32

# Design Overview

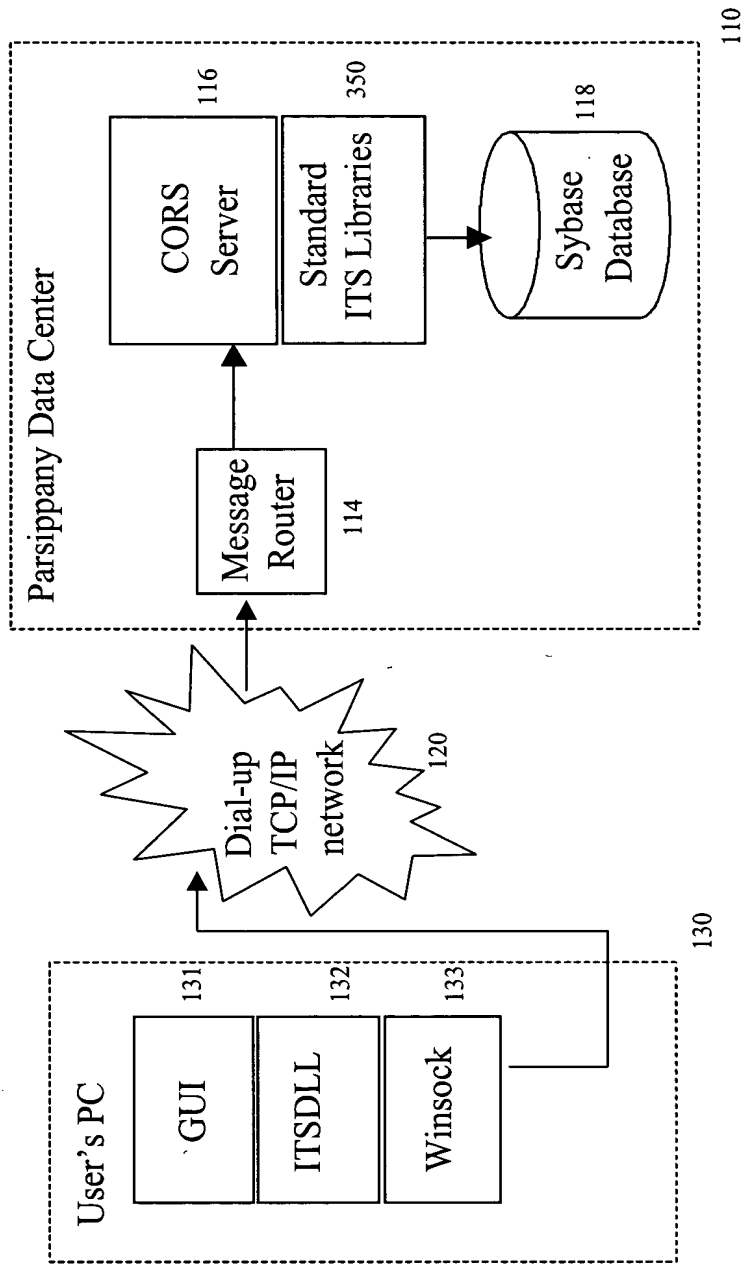


Fig 3B/32



## Logging On

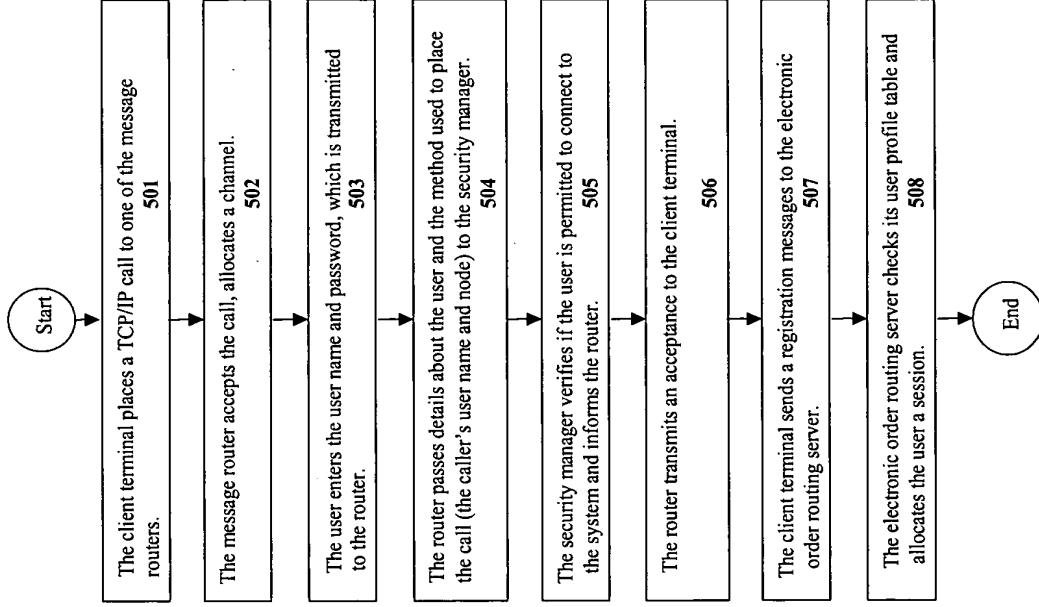


Fig 5/32

## Viewing Order Detail

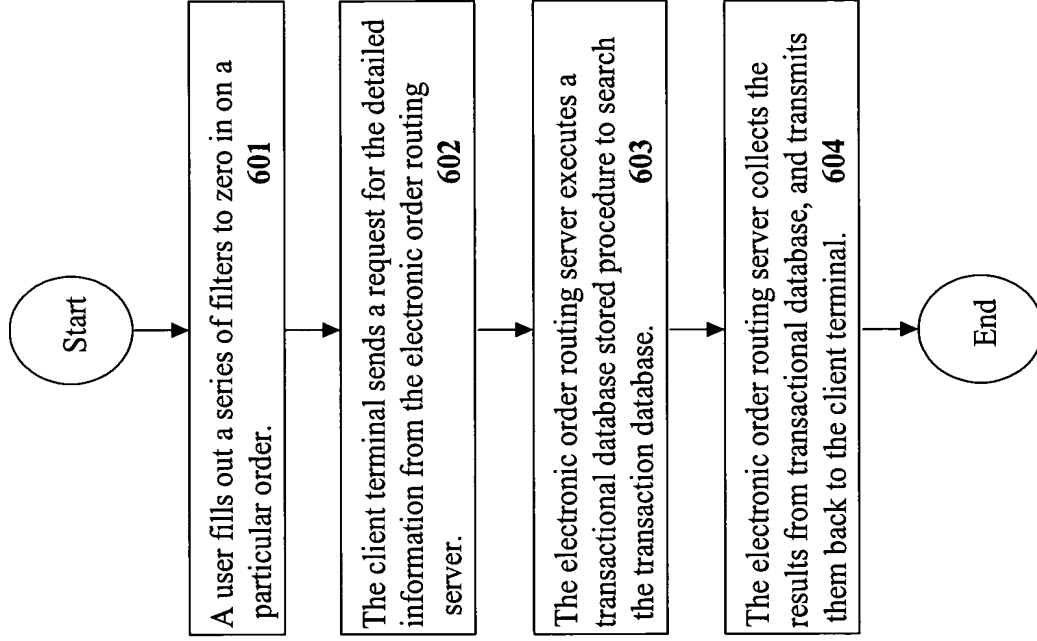


Fig 6/32

009220" 50292950

## Fund Manager Order Download

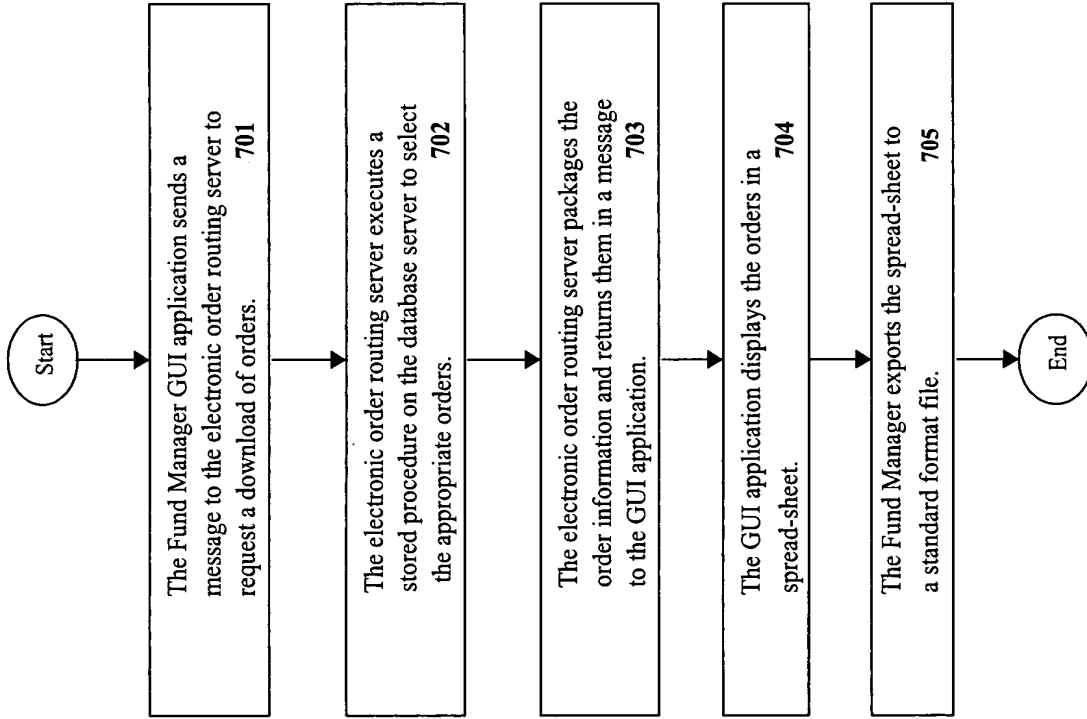



Fig 7/32



009270" 50292960

## Broker User Module – Initial Log-On



User ID:

Password:

OK

Cancel

Clear

Fig 8/32

009240" 50292960

## Broker User Module - View Rates

CrossMar Mutual Funds System    User: VES

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Rates   User: VES

314 funds

FundManger	FundName	FundID	ccy	Initial	NAV	Bid	Offer	Date
Fidelity	America	971522	USD	0.0525	4.099	4.099	4.314	18-Mar-99
Fidelity	American Growth Inc	907046	USD	0.0525	15.160	15.160	15.956	18-Mar-99
Fidelity	ASEAN	971523	USD	0.0525	7.139	7.139	7.514	18-Mar-99
Fidelity	Asian Special Situations	974004	USD	0.0525	6.049	6.049	6.367	18-Mar-99
Fidelity	Australia	972152	AUD	0.0525	21.310	21.310	22.429	18-Mar-99
Fidelity	Emerging Markets	972998	USD	0.0525	5.449	5.449	5.735	18-Mar-99
Fidelity	Euro Balanced	973810	EUR	0.0525	10.370	10.370	10.914	18-Mar-99
Fidelity	Euro Blue Chip Fd	971525	EUR	0.0525	12.040	12.040	12.672	18-Mar-99
Fidelity	European	988524	EUR	0.0525	12.090	12.080	12.714	18-Mar-99
Fidelity	European Growth	999131	EUR	0.0525	4.674	4.674	4.919	18-Mar-99
Fidelity	European Sm Cos F	974608	EUR	0.0525	11.360	11.360	11.956	18-Mar-99
Fidelity	Fid Premium Pflo Serv		GBP	0.0000	1.114	1.114	1.172	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	9.029	9.029	9.503	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	8.644	8.644	9.098	18-Mar-99
Fidelity	Fidelity Pfl Selector Glb		USD	0.0000	12.080	12.080	12.714	18-Mar-99
Fidelity	Fidelity Premium Pfl		USD	0.0000	11.930	11.930	12.556	18-Mar-99
Fidelity	France	971526	EUR	0.0525	23.330	23.330	24.555	18-Mar-99

Fund Manger

Fund Name

FundID

Currency

☐ Exact Search

Fig 9/32

009220"50292360

## Broker User Module - Transaction

CrossMar Mutual Funds System    User: VES

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Rates   User: VES

314 funds

FundManager	FundName	FundID	ccy	Initial	NAV	Bid	Offer	Date
Fidelity	America	971522	USD	0.0525	4.099	4.099	4.314	18-Mar-99
Fidelity	American Growth Inc	907046	USD	0.0525	15.160	15.160	15.956	18-Mar-99
Fidelity	ASEAN	971523	USD	0.0525	7.139	7.139	7.514	18-Mar-99
Fidelity	Asian Special Situations	974004	USD	0.0525	6.049	6.049	6.367	18-Mar-99
Fidelity	Australia	972152	AUD	0.0525	21.310	21.310	22.429	18-Mar-99
Fidelity	Emerging Markets	972998	USD	0.0525	5.449	5.449	5.735	18-Mar-99
Fidelity	Euro Balanced	973810	EUR	0.0525	10.370	10.370	10.914	18-Mar-99
Fidelity	Euro Blue Chip Fd	971525	EUR	0.0525	12.040	12.040	12.672	18-Mar-99
Fidelity	European	988524	EUR	0.0525	12.080	12.080	12.714	18-Mar-99
Fidelity	European Growth	999131	EUR	0.0525	4.674	4.674	4.919	18-Mar-99
Fidelity	European Sm Cos F	974608	EUR	0.0525	11.360	11.360	11.956	18-Mar-99
Fidelity	Fid Premium Pflo Serv		GBP	0.0000	1.114	1.114	1.172	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	9.029	9.029	9.503	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	8.644	8.644	9.098	18-Mar-99
Fidelity	Fidelity Pfl Selector Glb		USD	0.0000	12.080	12.080	12.714	18-Mar-99
Fidelity	Fidelity Premium Pfl		USD	0.0000	11.930	11.930	12.556	18-Mar-99
Fidelity	France	971526	EUR	0.0525	23.330	23.330	24.555	18-Mar-99

Fund Manager

Fund Name

Fund ID

Currency

☐ Exact Search

Fig 10A/32

009220"50292960

# Broker User Module - Transaction

CrossMar Mutual Funds

FileViewOptionsMaintenanceReportsWindowsHelp

Broker

View Funds

Transaction

FundManager	FundName	ISIN_GC	Currency	Initial	Redemption	NAV	Bid	Offer	PricingDate
FundMgrAB	Japanese Smaller Companies	LU0051759768	USD	5.000	1.000%	175.000	11.200	11.860	31/12/1998

Book Shares

☐ Nominee☒ Client

Account

D-003330

Dealing Terms

Standard

Client

Client48

Order Status

Basis

☒ Shares☐ Cash☐ Percentage

Number Of Shares

8,000

Settlement

☒ Standard☐ Non Standard

Settlement CCY

USD

Transaction Type

Redemption

☐ Full☒ Partial

Save Layout

Submit

Exit

Fig 10B/32

## Broker User Module – Sample of Fund Pricing with Selection of Fund, “Jump” to Transaction Screen

Fig 11/32

009220" 50292960

# Broker User Module – Sample of Purchase Transaction (for shares, standard settlement)

CrossMar Mutual Funds - Place Order

User: VES

Fund Manager	Fund Name	Fund ID	CCY	Initial	NAV	Bid	Offer	Price Date
Fidelity	Euro Blue Chip Fd	B71525	EUR	0.0525	12.040	12.040	12.672	18-Mar-99

Book Shares

☒ Nominee ☐ Client

Basis

☒ Shares ☐ Cash

Number of shares

Settlement

☒ Standard ☐ Non standard

Account

Dealing Terms

Standard

Transaction Type

Purchase

Settlement CCY

EUR

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 12/32

009220"50292960

# Broker User Module – Sample of Purchase Transaction (for cash, standard settlement)

CrossMar Mutual Funds - Place Order    User: YES

Fund Manager   Fund Name   Fund ID   CCY   Initial   NAV   Bid   Offer   Price Date

Fidelity   Euro Blue Chip Fd   971525   EUR   0.0525   12.040   12.040   12.672   18-Mar-99

Book Shares   ☒ Nominee   ☐ Client

Basis   ☐ Shares   ☒ Cash

Cash amount

Settlement   ☒ Standard   ☐ Non standard

Account

Dealing Terms

Transaction CCY

Transaction Type

Rounding

Settlement CCY

NS Instructions

Bank

City

Account ID

Transaction Reference

Order Status

Pending

Exit   Allocate   Submit   Next   Previous

Fig 13/32

009240"50292960

# Broker User Module – Sample of Purchase Transaction (for cash, non-standard settlement)

CrossMar Mutual Funds - Place Order User: YES

Fund Manager Fund Name Fund ID CCY Initial NAV Bid Offer Price Date

Fidelity Euro Blue Chip Fd 971525 EUR 0.0525 12.040 12.040 12.672 18-Mar-99

Book Shares

☐ Nominee ☒ Client

☐ Shares ☒ Cash

Cash amount

Settlement

☐ Standard ☒ Non standard

Account

Transaction CCY

Transaction Type

Dealing Terms

Settlement CCY

Rounding

NS Instructions

Bank

City

Account ID

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 14/32



009240"50292960

## Broker User Module – Sample of a Full Redemption

CrossMar Mutual Funds - Place Order    User: VES

Fund Manager    Fund Name    Fund ID    CCY    Initial    NAV    Bid    Offer    Price Date

Fidelity    Asian Special Situations    974004    USD    0.0525    6.049    6.049    6.367    22-Mar-99

Book Shares    Basis    Settlement

☒ Nominee    ☐ Client

☒ Shares    ☐ Cash

Number of shares

1000

☒ Standard    ☐ Non standard

Account    Dealing Terms    Transaction Type    Settlement CCY

FIDVESJOM001

Standard

Purchase

EUR

Allocations

ClientID	AccountID	Allocation
VESBRM	VESBRM001	200
VESJOM	VESJOM001	800

Transaction Reference

Order Status

Pending

Save Layout    Exit    Allocate    Submit    Next    Previous

Fig 15/32

009240"50292960

## Broker User Module – Sample Screen of a Partial Redemption (for Cash)

CrossMar Mutual Funds - Place Order User: VES								
Fund Manager	Fund Name	Fund ID	CCY	Initial	NAV	Bid	Offer	Price Date
Fidelity	Euro Blue Chip Fd	971525	EUR	0.0525	12.040	12.040	12.672	18-Mar-99

<b>Book Shares</b> <input type="radio"/> Nominee <input checked="" type="radio"/> Client		<b>Basis</b> <input type="radio"/> Shares <input checked="" type="radio"/> Cash		<b>Cash amount</b> <input type="text"/>	<b>Settlement</b> <input type="radio"/> Standard <input checked="" type="radio"/> Non standard
<b>Account</b> <input type="text"/>	<b>Transaction CCY</b> <input type="text"/>	<b>Rounding</b> <input type="text"/>	<b>Settlement CCY</b> <input type="text"/>	<b>NS Instructions</b> <input type="text"/>	
<b>Dealing Terms</b> <input type="text"/>	<b>Transaction Type</b> <input type="text"/>	<input type="radio"/> Full <input checked="" type="radio"/> Partial		<b>Bank</b> <input type="text"/>	<b>City</b> <input type="text"/>
				<b>Account ID</b> <input type="text"/>	

<b>Transaction Reference</b> <input type="text"/>
<b>Order Status</b> Pending

<b>Exit</b>	<b>Allocate</b>	<b>Submit</b>	<b>Next</b>	<b>Previous</b>
-------------	-----------------	---------------	-------------	-----------------

Fig 16/32

009220" 50292960

# Broker User Module – Full Switch Transaction

CrossMar Mutual Funds - Place Order

User: VES

Fund Manager	Fund Name	Fund ID	CCY	Initial	NAV	Bid	Offer	Price Date
Fidelity	America	971522	USD	0.0525	4.099	4.099	4.314	18-Mar-99
Fidelity	Japan	971532	JPY	0.0525	121.600	121.600	127.984	18-Mar-99

Book Shares

☒ Nominee

☒ Client

☐ Shares

☒ Cash

Cash amount

Account

Transaction CCY

EUR

Transaction Type

Switch

Rounding

☐ Full

☒ Partial

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 17/32

009220"50292960

# Broker User Module – Partial Switch Transaction (Cash)

CrossMar Mutual Funds - Place Order    User: VES

Fund Manager	Fund Name	Fund ID	CCY	Initial	NAV	Bid	Offer	Price Date
Fidelity	America	971522	USD	0.0525	4.099	4.099	4.314	18-Mar-99
Fidelity	Japan	971532	JPY	0.0525	121.600	121.600	127.984	18-Mar-99

Book Shares

☒ Nominee

☐ Client

Basis

☐ Shares

☒ Cash

Cash amount

Account

Transaction CCY

EUR

Transaction Type

Switch

Rounding

☐ Full

☒ Partial

Transaction Reference

Order Status

Pending

Exit

Allocate

Submit

Next

Previous

Fig 18/32

# Broker User Module – Sample View Order

CrossMar Mutual Funds System

User: VES

File

View

Options

Reports

Window

Help

CrossMar Mutual Funds - View Orders User: VES

31 orders

FMID	OrderRef	OrderDate	FundName	FundID	Status	Type	FMref
Fidelity	VESFIDVESBRM00100	01-Mar-1999 08:58	Emerging Markets	972998	Filled	Purchase	Fidelity0016
Fidelity	VESFIDVESBRM00100	01-Mar-1999 09:05	Euro Blue Chip Fd	971525	Filled	Switch	Fidelity0017
Fidelity	VESFIDVESBRM00100	01-Mar-1999 09:07	Asian Special Situations	974004	Filled	Redemption	Fidelity0018
Fidelity	VESFIDVESBRM00100	01-Mar-1999 09:13	America	971522	Filled	Purchase	Fidelity0019
Fidelity	VESFIDVESBRM00100	01-Mar-1999 10:08	Asian Special Situations	974004	Filled	Purchase	Fidelity0020
Fidelity	VESFIDVESBRM00100	01-Mar-1999 10:14	Emerging Markets	972998	Filled	Switch	Fidelity0021
Fidelity	VESFIDVESBRM00100	01-Mar-1999 10:16	Euro Blue Chip Fd	971525	Filled	Redemption	Fidelity0022
Fidelity	VESFIDVESJOM00100	19-Mar-1999 09:35	Euro Balanced	973810	Filled	Purchase	Fidelity0023
Fidelity	VESFIDVESJOM00100	19-Mar-1999 10:13	Euro Balanced	973810	Filled	Purchase	Fidelity0024
Fidelity	VESFIDVESBRM00100	19-Mar-1999 10:59	Euro Blue Chip Fd	971525	ReceivedFM	Purchase	
Fidelity	VESFIDVESBRM00100	19-Mar-1999 10:59	Euro Balanced	973810	ReceivedFM	Purchase	
Fidelity	VESFIDVESJOM00100	19-Mar-1999 11:00	Fidelity Gestion		ReceivedFM	Purchase	
Fidelity	VESFIDVESJOM00100	19-Mar-1999 11:01	Fidelity PFI Selector Glb		Pending	Purchase	
Fidelity	VESFIDVESBRM00100	19-Mar-1999 11:01	Fidelity Premium PFI		Pending	Purchase	

Fund Manger

Fund Name

Fund ID

Status

OrderDate

Exact Search

SaveLayout

Search

Clear

Exit

Trade Cancel

Fig 19A/32

# Broker User Module – Sample View Order

CrossMar Mutual Funds
Broker
File View Options Maintenance Reports Windows Help

View Orders

Order ID	FM ID	Account No	Client ID	Fund Name
199907141001	FundMgrABC	k-2456		Emerging Markets
199907151003	FundMgrABC	k-2456		Asian Opportunities
199907151004	FundMgrABC	k-2456		Asian Opportunities
199907151005	FundMgrABC	D-003330	Client48	Eastern European

Fund Manager
Fund Name
From Date
To Date
Order ID
Status

Fig 19B/32

009220"50292960

## Broker User Module – Sample of Error Message

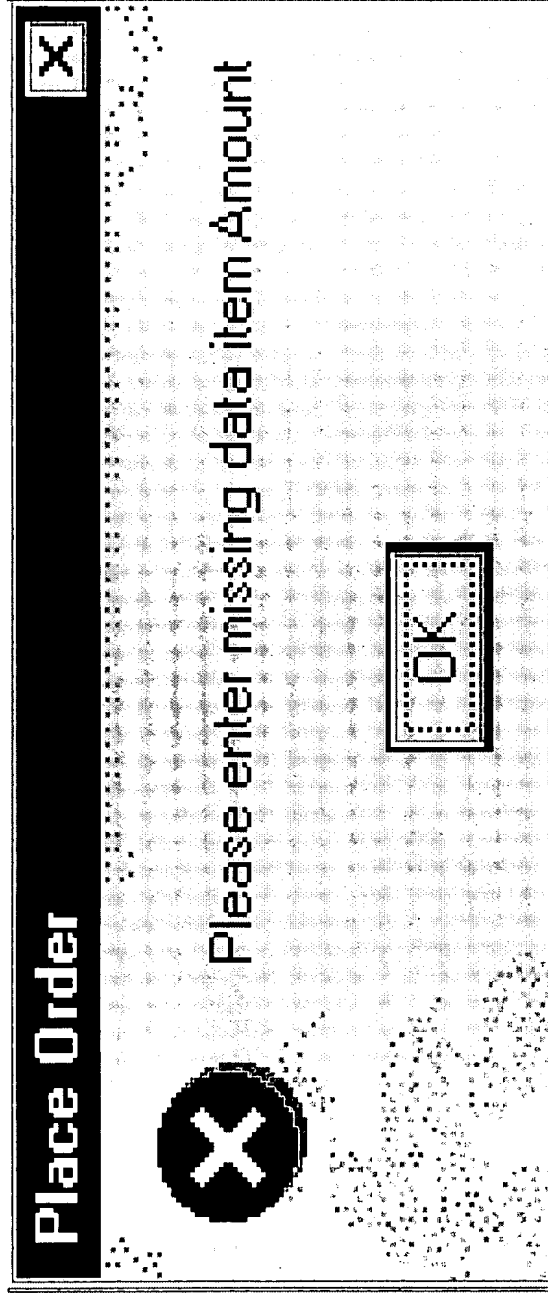
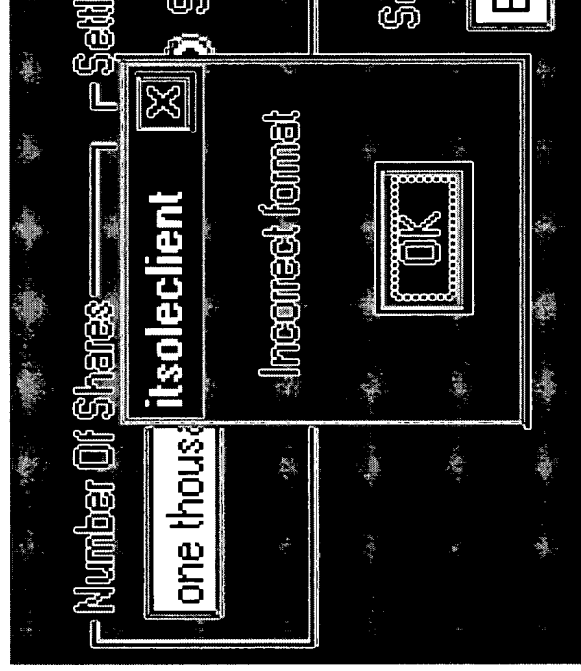


Fig 20A/32

## Broker User Module – Sample of Error Message

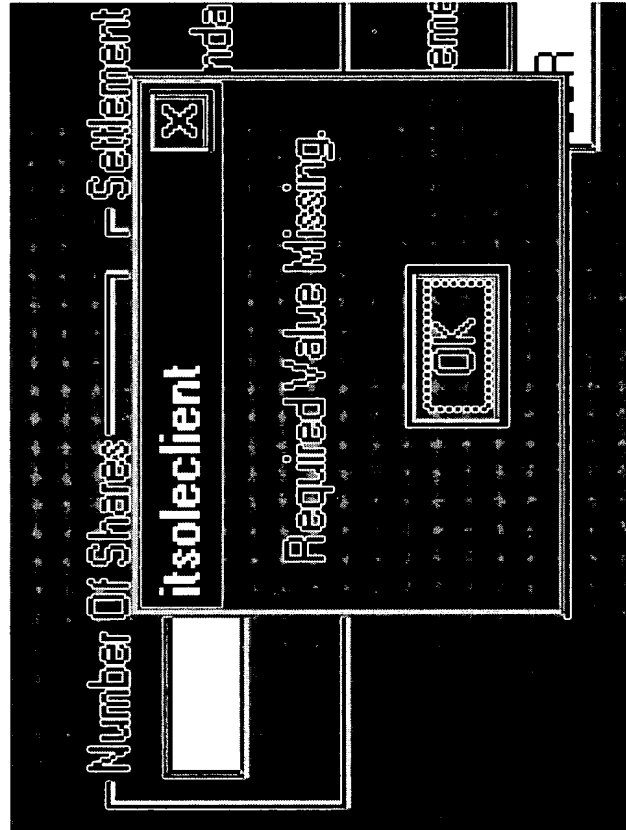


An error message in the  
CORS Transaction Window.  
The user entered "one  
thousand" in the "Number of  
Shares" field and then clicked  
"Submit."

Fig 20B/32



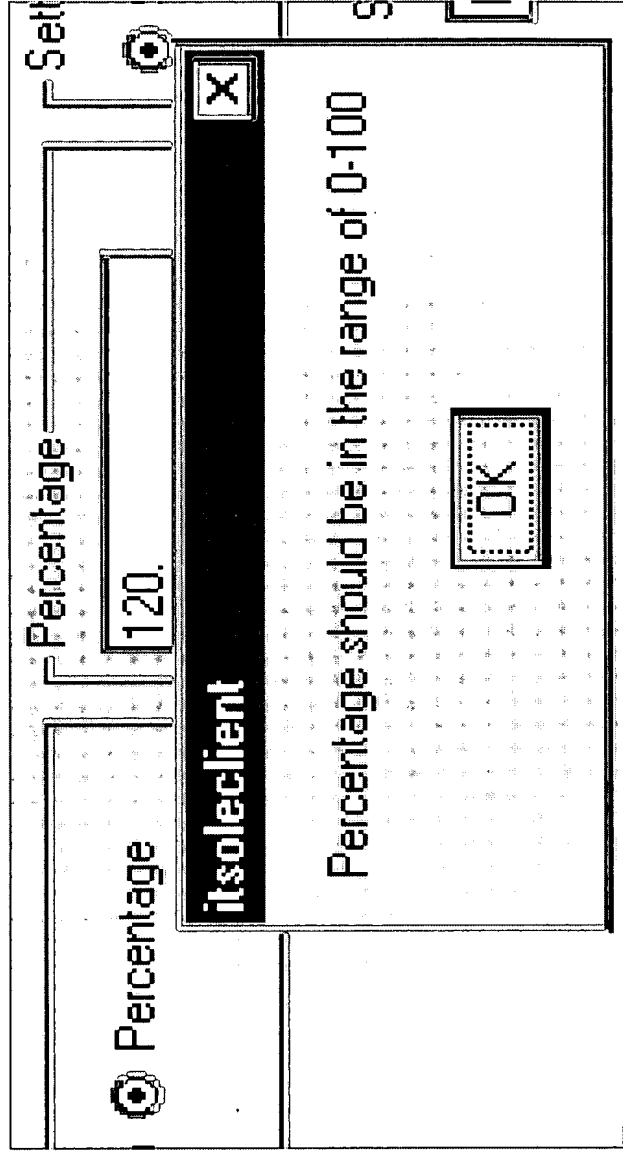
## Broker User Module – Sample of Error Message



An error message in the CORS Transaction Window. The user neglected to enter a value in the "Number of Shares" field before clicking "Submit."

Fig 20C/32

## Broker User Module – Sample of Error Message



An error message in the CORS Transaction Window. The user entered a percentage greater than 100% in the "Percentage" field and clicked "Submit."

Fig 20D/32

## Broker User Module – Second Sample of Error Message

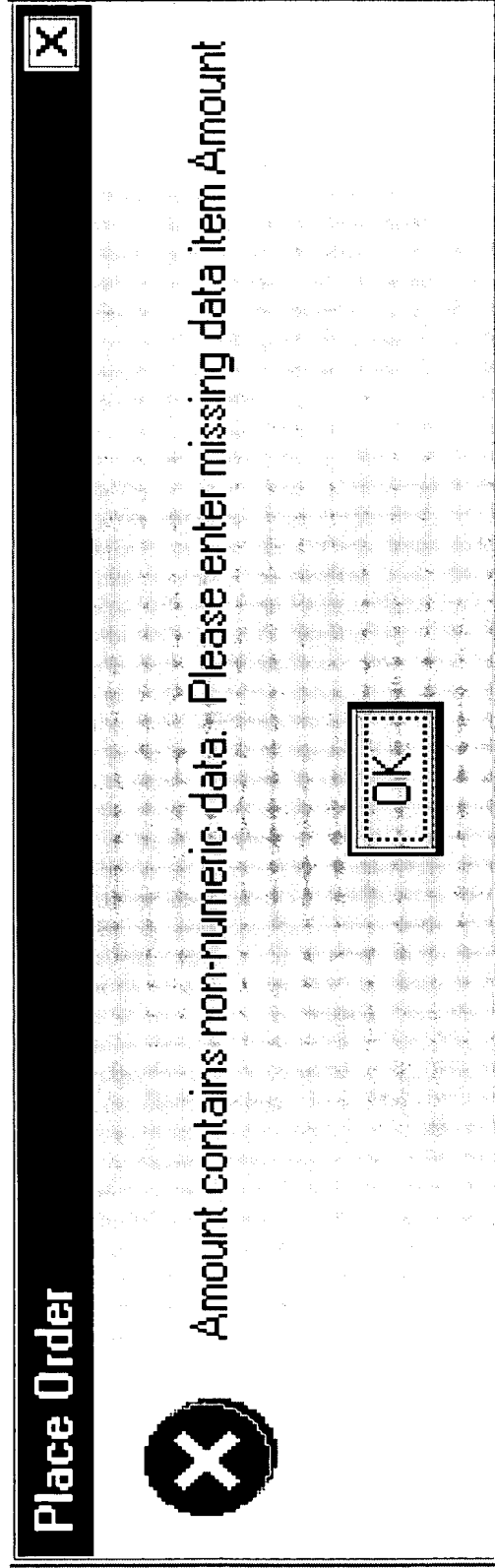


Fig 21/32

009220" 50292960

## Broker User Module – Sample Order Confirmation Message

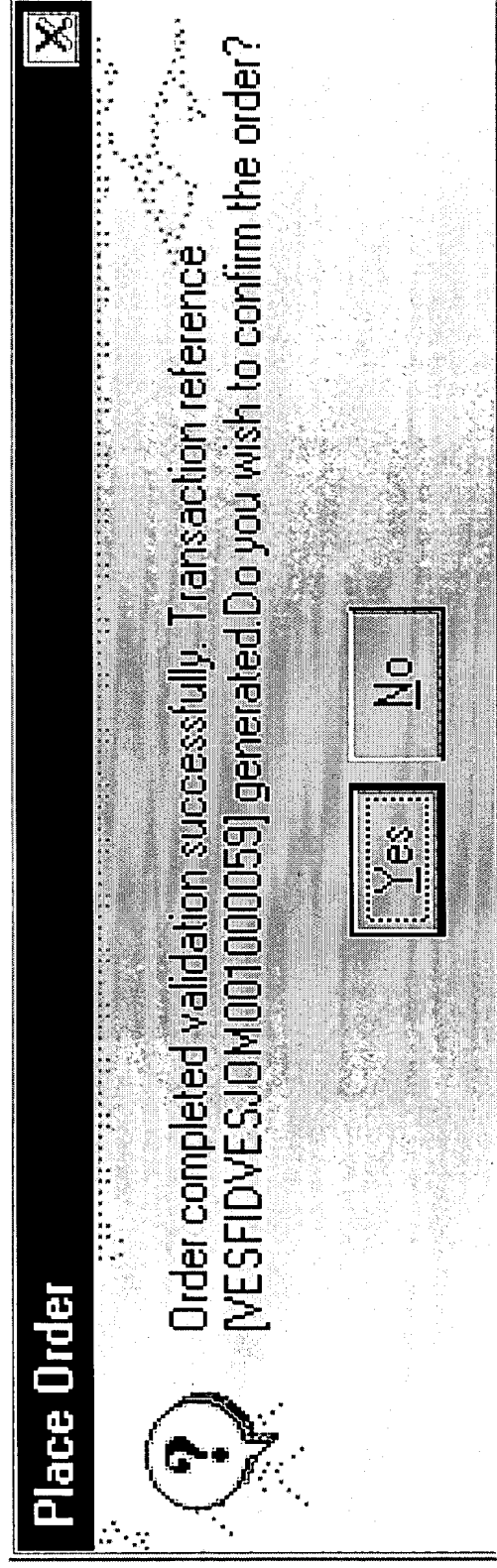


Fig 22A/32

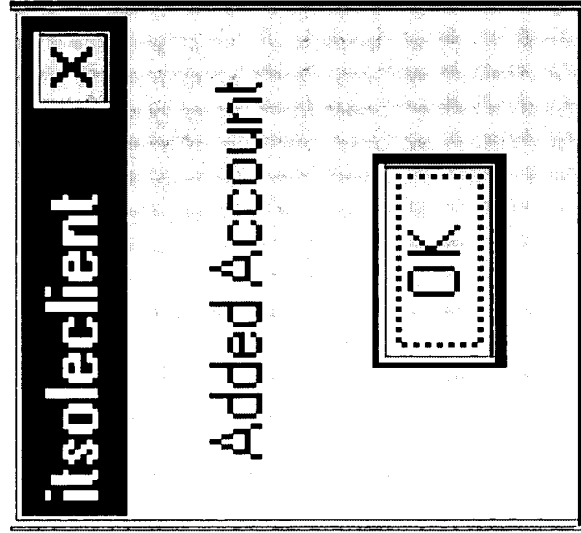
009220" 50292960

## Broker User Module – Sample Order Confirmation Message

<b>CORS</b>	
Please enter optional reference number	
<input type="text"/>	
Order Completed Validation Successfully. Do You Wish to Confirm the Order?	
<input type="button" value="Yes"/>	<input type="button" value="No"/>

Fig 22B/32

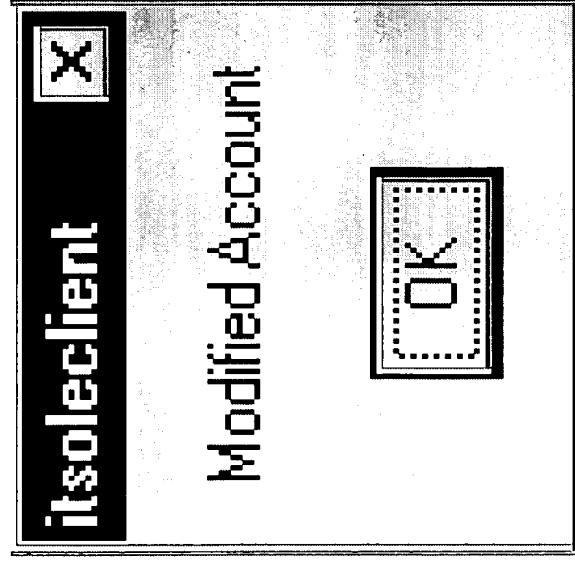
## Broker User Module – Sample Order Confirmation Message



CORS message indicating that  
an account has been added  
successfully

Fig 22C/32

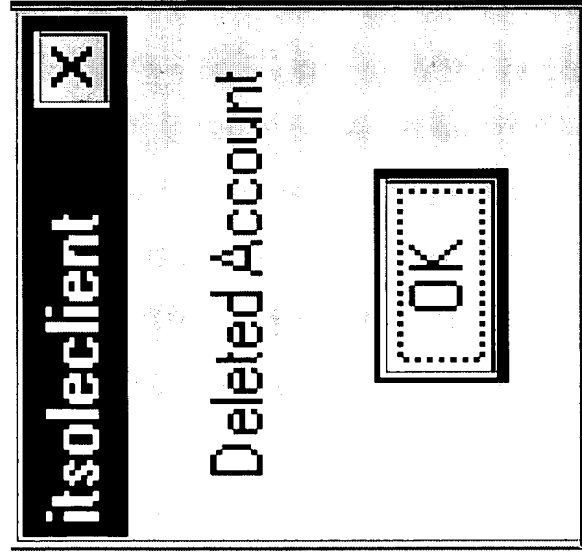
## Broker User Module – Sample Order Confirmation Message



CORS message  
indicating that an account  
has been updated  
successfully.

Fig 22D/32

Broker User Module – Sample Order Confirmation Message



CORS message indicating that  
an account has been  
successfully deleted.

Fig 22E/32



009220" 50292360

## Broker User Module – View Orders

CrossMar Mutual Funds System    User: FIDELITY

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Orders   User: FIDELITY

30 orders

BKID	OrderRef	OrderDate	FundName	FundID	Status	Type	FMref	Pric
VES	VESFIDVESBRM00100	28-Feb-1999 15:45	ASEAN	971523	Pending	Switch		
VES	VESFIDVESBRM00100	28-Feb-1999 15:53	Australia	972152	Pending	Redemption		
VES	VESFIDVESBRM00100	28-Feb-1999 15:54	Euro Balanced	973810	Pending	Switch		
VES	VESFIDVESBRM00100	01-Mar-1999 08:42	Fidelity Gestion		Pending	Purchase		
VES	VESFIDVESBRM00100	01-Mar-1999 08:44	Asian Special Situations	974004	Pending	Purchase		
VES	VESFIDVESJOM00100	01-Mar-1999 08:45	Australia	972152	Pending	Purchase		
VES	VESFIDVESBRM00100	01-Mar-1999 08:58	Emerging Markets	972998	Pending	Purchase		
VES	VESFIDVESBRM00100	01-Mar-1999 09:05	Euro Blue Chip Fd	971525	Pending	Switch		
VES	VESFIDVESBRM00100	01-Mar-1999 09:07	Asian Special Situations	974004	Pending	Redemption		
VES	VESFIDVESBRM00100	01-Mar-1999 09:13	America	971522	Pending	Purchase		
VES	VESFIDVESBRM00100	01-Mar-1999 10:08	Asian Special Situations	974004	Pending	Purchase		
VES	VESFIDVESBRM00100	01-Mar-1999 10:14	Emerging Markets	972998	Pending	Switch		
VES	VESFIDVESBRM00100	01-Mar-1999 10:16	Euro Blue Chip Fd	971525	Pending	Redemption		
VES	VESFIDVESJOM00100	19-Mar-1999 09:35	Euro Balanced	973810	Pending	Purchase		
VES	VESFIDVESJOM00100	19-Mar-1999 10:13	Euro Balanced	973810	Pending	Purchase		
VES	VESFIDVESBRM00100	19-Mar-1999 10:59	Euro Blue Chip Fd	971525	Pending	Purchase		

Broker

Fund Name    Fund ID    Status    Order Date

☐ Exact Search    SaveLayout    Search    Clear    Exit    Upload    Download

Fig 23/32

009220" 50252960

## Broker User Module – Change Password

CrossMar Mutual Funds System    User: YES

File View Options Reports Window Help

✖ Password Change

Present Password

New Password

Confirm Password

OK

Exit

Fig 24/32

## Broker User Module – Set Defaults

☒ Global Certificate

☐ Registered Shares

☒ Nominee

☐ Client

☒ ISIN

☐ CEDEL

☐ LOCAL

☒ Shares

☐ Cash

☐ Percentage

☒ Standard

☐ Non Standard

☒ Standard

☐ Up

Fig 25/32

009270" 50292960

## Broker User Module – Add Clients

CrossMar Mutual Funds - Add Client User: VES

Clients

ClientName	ClientID	BKID
Mary Bryant	VESBRM	VES
Jones Mark	VESJOM	VES
XYZ Client	VESXYZ	VES

Save Layout

Add

Delete


Upload


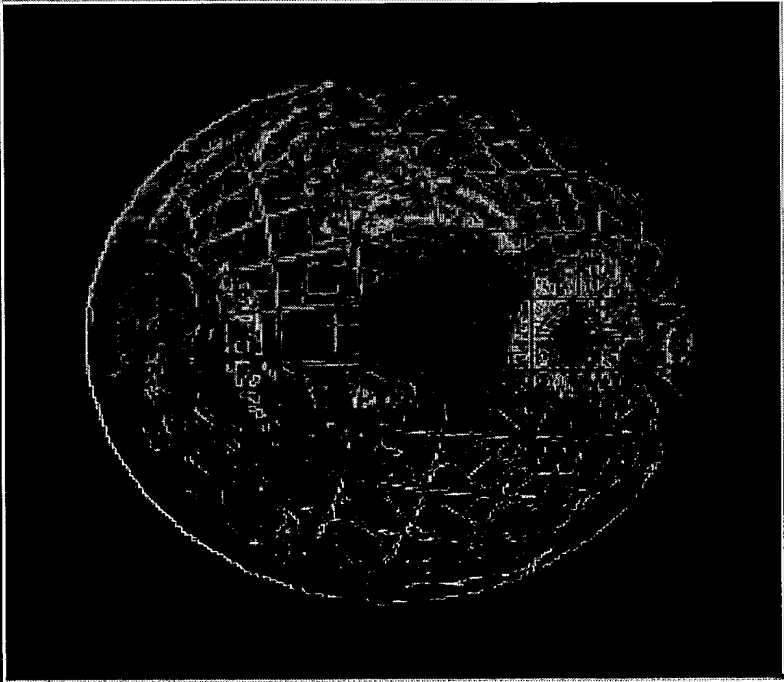
Exit

Fig 26/32

009240" 50292960

## Fund Manager User Module – Initial Log-On

 CrossMar Login



User ID:

Password:

Fig 27/32

009220"50292960

## Fund Manager User Module - View Rates

CrossMar Mutual Funds System    User: VES

File   View   Options   Reports   Window   Help

CrossMar Mutual Funds - View Rates   User: VES

314 funds

FundManager	FundName	FundID	ccy	Initial	NAV	Bid	Offer	Date
Fidelity	America	971522	USD	0.0525	4.099	4.099	4.314	18-Mar-99
Fidelity	American Growth Inc	907046	USD	0.0525	15.160	15.160	15.956	18-Mar-99
Fidelity	ASEAN	971523	USD	0.0525	7.139	7.139	7.514	18-Mar-99
Fidelity	Asian Special Situations	974004	USD	0.0525	6.049	6.049	6.367	18-Mar-99
Fidelity	Australia	972152	AUD	0.0525	21.310	21.310	22.429	18-Mar-99
Fidelity	Emerging Markets	972998	USD	0.0525	5.449	5.449	5.735	18-Mar-99
Fidelity	Euro Balanced	973810	EUR	0.0525	10.370	10.370	10.914	18-Mar-99
Fidelity	Euro Blue Chip Fd	971525	EUR	0.0525	12.040	12.040	12.672	18-Mar-99
Fidelity	European	988524	EUR	0.0525	12.080	12.080	12.714	18-Mar-99
Fidelity	European Growth	999131	EUR	0.0525	4.674	4.674	4.919	18-Mar-99
Fidelity	European Sm Cos F	974608	EUR	0.0525	11.360	11.360	11.956	18-Mar-99
Fidelity	Fid Premium Pflo Serv		GBP	0.0000	1.114	1.114	1.172	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	9.029	9.029	9.503	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	8.644	8.644	9.098	18-Mar-99
Fidelity	Fidelity Pfl Selector Glb		USD	0.0000	12.080	12.080	12.714	18-Mar-99
Fidelity	Fidelity Premium Pfl		USD	0.0000	11.930	11.930	12.556	18-Mar-99
Fidelity	France	971526	EUR	0.0525	23.330	23.330	24.555	18-Mar-99

Fund Manager

Fund Name

Fund ID

Currency

☐ Exact Search

SaveLayout

Search

Clear

Exit

Fig 28A/32

009270" 50292950

## Fund Manager User Module – View Rates

CostMar Mutual Funds

FundManager - [View Rates]

File

View

Options

Maintenance

Reports

Windows

Help

	Fund Name	Curr	Bid Price	Offer	Price	NAV	Zwisch	Yield	Divid	Perfo
1	Fund Prices & Information for									
2			1507.99							
3	Fund Name	Cmcy	Bid Price	Offer Price	Price Move	NAV Per Share	Zwisch gewinn	Yield	Divid Rate	Perfo YTD
4										
5	American	USD	88.700	93.850	0.940	1530.500				
6	American Blue Chip	USD	10.780	11.400	0.050	10.400				
7	American Fledgling	USD	95.010	100.520	0.630	300.000				
8	The New Fund	USD	88.170	92.580	0.750	917.790				
9	Asian Opportunities	USD	20.870	22.080	-0.190	263.200				
10	Balanced	EUR	7.200	7.630	0.000	28.800	0.110			
11	China	USD	12.060	12.750	-0.290	219.300				
12	Eastern European	EUR	14.460	15.300	-0.080	331.100				
13	Emerging European	USD	12.870	13.620	-0.070	65.000				
14	Emerging Markets	USD	9.560	10.120	0.030	111.000				
15	Emerging Markets Debt	USD	11.910	12.350	-0.010	49.700	1.300			
16	Euro Bond	EUR	5.990	6.210	-0.030	123.500	0.250	0.037		
17	Euro Equity	EUR	35.400	37.450	0.010	265.000				
18	European	EUR	33.380	35.320	0.070	242.400				
19	European High Yield Bond	EUR	5.280	5.480	-0.020	72.800	0.520			
20										

Import

Enter

Exit

Now Fund

Print

Clear

Get Rates

Exit

No Errors Detected

Fig 28B/32

00920"50292960

## Fund Manager User Module – View Order

CrossMar Mutual Funds FundManager - [View Orders]

File View Options Maintenance Reports Windows Help

A	B	C	D	E	F	G	H	I	J	K
Order ID	Fund	Fund	Broker	Client ID	Account	Order	Switch ID	Order	Order	Terms
1	1999071	LU0053685 ABC	Broker ABC		k-2455	Redeem	0	1907/1999	Filled	Cash
2	1999071	LU0053685 ABC	Broker ABC		k-2455	Purchase	0	1907/1999	Filled	Cash
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										

Export Parse Get Orders ☒ New ☐ Dates

Import Accept

Error ☐ New Order ☐

No Errors Detected

Broker Fund Name Fund ID Order ID Status

Search Clear Exit

Fig 29A/32



009220"50292960

## Fund Manager User Module – View Orders

CrossMar Mutual Funds

FundManager - [View Orders]

File View Options Maintenance Reports Windows Help

A	B	C	D	E	F	G	H	I	J	K
Order ID	Fund	Fund	Broker	Client ID	Account	Order	Switch ID	Order	Order	Terms
1	1999071	LU0053685	ABC	Broker 1	k-2455	Redeem	0	1907/1999	Filed	Cash
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										

Export

Parse

Get Orders

☒ New  
☐ Dates

Import

Accept

Error

New Order

No Errors Detected

Broker

FundName

Fund ID

Order ID

Status

Search

Clear

Exit

Fig 29B/32

# Fund Manager User Module – Sample Specification of Location of Download File

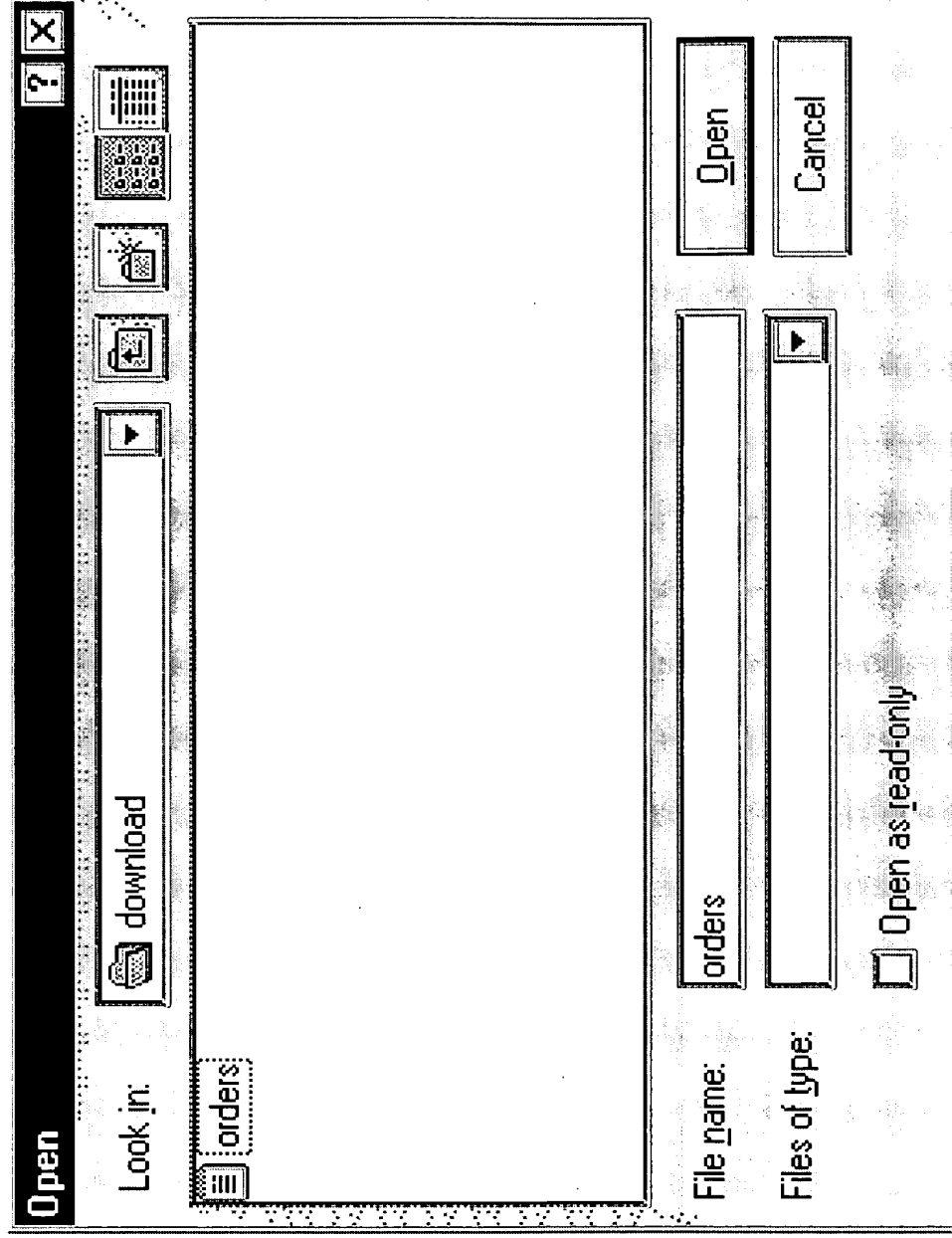


Fig 30A/32

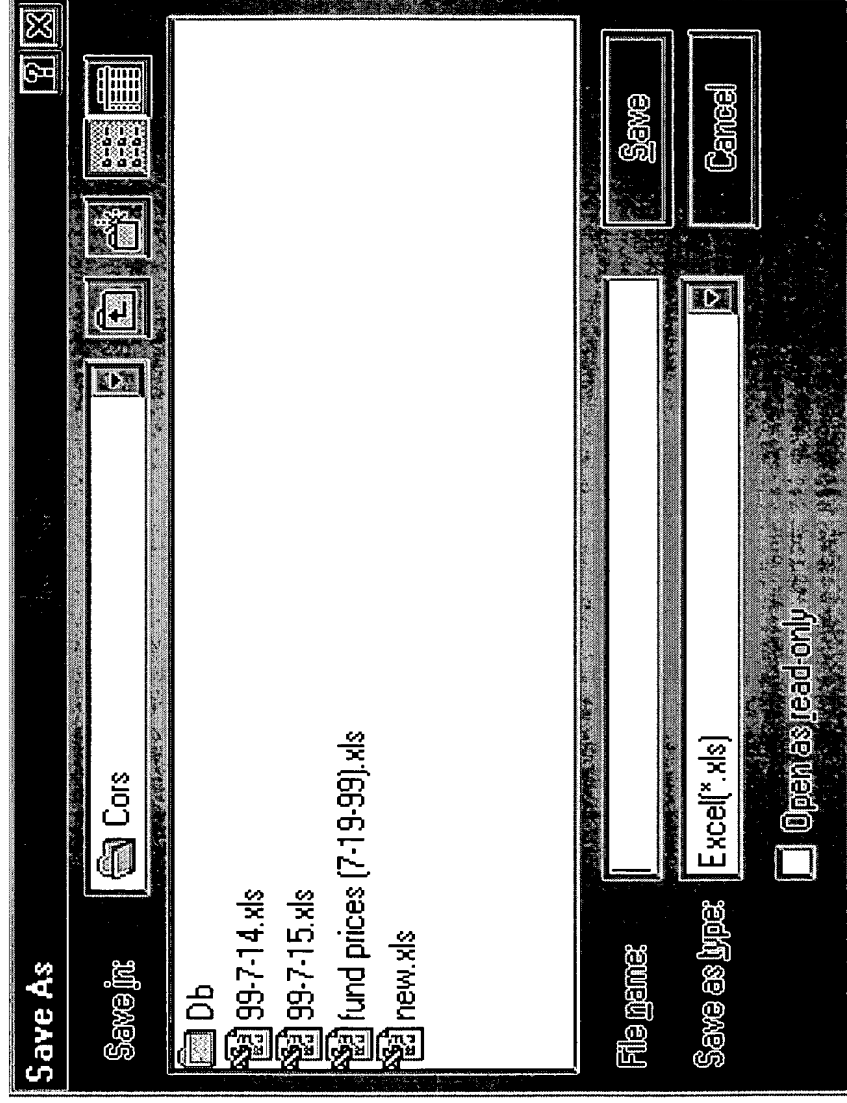
## List of Database Fields in the "View Order" User Modules

#	Field	Description	Always Present?	Sample Value
1.	Order ID	Order Transaction Reference number	Yes	ABC199907131000
2.	Fund Code	CEDEL, ISIN, or local code for fund	Yes	LU0072845869
3.	Fund Name	Fund name	Yes	XYZ Emerging Markets
4.	Broker Name	Broker Identifier	Yes	BBBrokerage
5.	Client ID	Client Identifier if client level order (Fund Manager's ID, not CrossMar's)	Yes, if 6=client acct.	Client48
6.	Account No	Broker Account number (nominee or client)	Yes	12756
7.	Order Type	Purchase, Redeem, Switch Purchase, Switch Redeem	Yes	Purchase
8.	Switch ID	Switch reference number, a unique numeric identifier linking the two sides of a switch.	Yes, if 7=Switch	3
9.	Order Date	Date the order was placed. After the daily cutoff time, new orders are dated as the next day.	N/A	July 7, 1999 12:00:00
10.	Order State	Pending, ReceivedFM, Cancel, ReceivedFM Cancel, Filled, Rejected, or Wait (only "Wait" is manually input).	Yes	Pending
11.	Terms	Shares, Cash, Percentage	Yes	Cash
12.	Cash Amount	Amount of cash, if cash terms	Yes, if 11=Cash	150000
13.	Transaction Currency	Currency of cash, if cash terms	Yes, if 11=Cash	EUR
14.	Settlement Currency	Currency of settlement	Yes	USD
15.	Rounding	Up, Down, or Full+Fraction	Yes, if 11=Cash	Down
16.	Percentage	Percentage of holdings, if percentage terms (1)	Yes, if 11=Percentage	57
17.	No of Shares	Number of shares, if share terms	Yes, if 11=Shares	1800
18.	Settlement Type	Standard / Non-standard	Yes	Standard
19.	Bank	Bank name, if non-standard settlement	Yes, if 18=Non-standard	Bob's Big Bank
20.	City	City name, if non-standard settlement	Optional	Metropolis
21.	Account	Bank account number, if non-standard settlement	Yes, if 18=Nonstandard	154562268
22.	Swift	Swift code, if non-standard settlement	Optional	87654321
23.	Dealing Terms	Standard/Reinvest/Special Promotion	Yes	Standard
24.	Reinvest Comm	All, 1% or 2%	Yes, if 23=Reinvest	2%
25.*	FM Ref	Fund Manager Reference Number (optional)	Optional	1234568
26.*	NAV	Net asset value per share in fund currency	Yes	124
27.*	Total Funds	Total funds due/to be received in settlement currency per field 14	Yes	10000
28.*	Total Shares	Total number of shares to be purchased or redeemed	Yes	1776
29.*	FX Rate	Foreign exchange rate used to convert settlement amount based in fund currency to settlement currency	Optional	1.35
30.*	Zwischengewinn	Re-invested interest rate of the fund since its inception	Optional	0.11
31.*	Value Date	Date funds available, if applicable	Yes	13.10.1999
32.	Execution Date	Date uploaded into CORS	Yes	13.10.1999
33.	Execution Time	Time uploaded into CORS	Yes	17:34:49
34.*	Execution Price	Broker's price per share in fund currency	Yes	121.000
35.*	Commission	Commission due to the broker (optional)	Optional	0
36.*	Rejection Reason	Reason for rejecting, if rejected. Often: unrecognized account number, redemption is greater than holding, or insufficient funds	Yes, if 10=Rejected	Insufficient funds
37.*	Date Priced	Date of pricing information	Yes	13.10.1999
38.*	Time Priced	Time of pricing information	Yes	17:29:36
39.	Entry Time	Date/time order entered	Yes	13.07.99 17:29:36
40.	Enterer	User who entered the order	Yes	CORXYZ
41.	Accepted Time	Date/time order received by Fund Manager	Yes	13.07.99 17:34:49
42.	Acceptor	User who received the order	Yes	CORALK
43.	Cancel Time	Date/time order cancelled	Yes	15.07.99 16:07:26
44.	Canceller	User who cancelled the order	Yes	CORS VK

\* Indicates item will be filled in by the Fund Manager upon confirmation or rejection of the order.

Fig 32/32

# Fund Manager User Module – Sample Specification of Location of Download File



Exporting order information to a user's local computer. The user must name the file and choose a location in which to store it.

Fig 30B/32

009220" 50292960

## Fund Manager User Module – Change Password

The screenshot displays the 'CrossMar Mutual Funds System' application window. The title bar includes the text 'CrossMar Mutual Funds System' and 'User: VES'. The menu bar contains 'File', 'View', 'Options', 'Reports', 'Window', and 'Help'. The main window area is mostly blank, with a 'Password Change' dialog box centered on the screen. The dialog box has a title bar with a close button and the text 'Password Change'. It contains three text input fields labeled 'Present Password', 'New Password', and 'Confirm Password'. Below these fields are two buttons: 'OK' and 'Exit'.

Fig 31/32